

04-18-01

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Docket No: 28110/35915A

**PATENT APPLICATION TRANSMITTAL UNDER 37 C.F.R. 1.53**

**Box Patent Application**  
**Commissioner for Patents**  
**Washington, D.C. 20231**

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): Dennis G. Ballinger, Deborah Loeb, Julie R. Montgomery, Y. Tom Tang, Ping Zhou, Ryle Goodrich, Chenghua Liu, Vinod Asundi, Qing A. Zhao, Tom Wehrman, Radoje T. Drmanac, Feiyan Ren, Xiaohong B. Qian and Dunrui Wang

Title: Materials and Methods Relating to Lipid Metabolism

**1. Type of Application**

- ☒ This is a new application for a
- ☒ utility patent.
- ☐ design patent.
- ☐ This is a continuation-in-part application of prior application no.

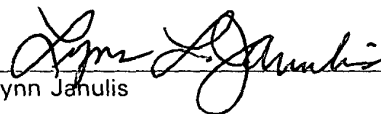
**2. Application Papers Enclosed**

- 1 Title Page
- 110 Pages of Specification (excluding Claims, Abstract, Drawings & Sequence Listing)
- 4 Page(s) of Claims
- 1 Page(s) of Abstract
- 30 Sheet(s) of Drawings (Figs. 1A to 6D)
- X Formal
- Informal
- 122 Page(s) of Sequence Listing

**CERTIFICATION UNDER 37 CFR 1.10**

I hereby certify that this Patent Application Transmittal and the documents referred to as enclosed therewith are being deposited with the United States Postal Service on **April 16, 2001**, in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231 utilizing the "Express Mail Post Office to Addressee" service of the United States Postal Service under Mailing Label No. EL564460153US.

Lynn Janulis



jc839 U.S. PRO  
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Box SEA  
jc929 U.S. PRO  
09/835996  
04/16/01

35915A-01

3. Declaration or Oath

- ☐ Enclosed
  - ☐ Executed by (check all applicable boxes)
    - ☐ Inventor(s)
    - ☐ Legal representative of inventor(s)  
(37 CFR 1.42 or 1.43)
    - ☐ Joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached
    - ☐ The petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 are enclosed. See Item 5D below for fee.
- ☒ Not enclosed - the undersigned attorney or agent is authorized to file this application on behalf of the applicant(s). An executed declaration will follow.

4. Small Entity Status

- ☒ Applicant claims small entity status. See 37 CFR 1.27.
- ☐ A small entity statement is(are) attached.

5. Additional Papers Enclosed

- ☐ Preliminary Amendment
- ☐ Information Disclosure Statement
- ☐ Declaration of Biological Deposit
- ☒ Computer readable copy of sequence listing containing nucleotide and/or amino acid sequence with Statement under 37 C.F.R. § 1.821(f)
- ☐ Microfiche computer program
- ☐ Associate Power of Attorney
- ☐ Verified translation of a non-English patent application
- ☐ An assignment of the invention
- ☐ Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i)
- ☒ Return receipt postcard
- ☐ Other

6. **Priority Applications Under 35 USC 119**

Certified copies of applications from which priority under 35 USC 119 is claimed are listed below and

☐ are attached.

☐ will follow.

| COUNTRY | APPLICATION NO. | FILED |
|---------|-----------------|-------|
|         |                 |       |
|         |                 |       |
|         |                 |       |

7. **Filing Fee Calculation (37 CFR 1.16)**

A. ☒ **Utility Application**

| CLAIMS AS FILED - INCLUDING PRELIMINARY AMENDMENT (IF ANY)                         |           |           |              |          |                           |          |
|--|-----------|-----------|--------------|----------|---------------------------|----------|
|  |           |           | SMALL ENTITY |          | OTHER THAN A SMALL ENTITY |          |
|  | NO. FILED | NO. EXTRA | RATE         | FEE      | RATE                      | FEE      |
| BASIC FEE  |           |           |              | \$355.00 |                           | \$710.00 |
| TOTAL  | 33 - 20   | = 13      | X 9 =        | \$117.00 | X 18 =                    | \$       |
| INDEP.   | 3 - 3     | = 0       | X 40 =       | \$       | X 80 =                    | \$       |
| <input checked="" type="checkbox"/> First Presentation of Multiple Dependent Claim |           |           | + 135 =      | \$135.00 | + 270 =                   | \$       |
| Filing Fee:  |           |           |              | \$607.00 | <b>OR</b>                 | \$       |

B. ☐ **Design Application (\$160.00/\$320.00)** Filing Fee: \$ \_\_\_\_\_

C. ☐ **Plant Application (\$245.00/\$490.00)** Filing Fee: \$ \_\_\_\_\_

D. **Other Fees**

☐ Recording Assignment [Fee -- \$40.00 per assignment] \$ \_\_\_\_\_

☐ Petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached [Fee -- \$130.00] \$ \_\_\_\_\_

☐ Other \$ \_\_\_\_\_

**Total Fees Enclosed \$607.00**

8. **Method of Payment of Fees**

- ☒ Enclosed check in the amount of: \$607.00
- ☐ Charge Deposit Account No. 13-2855 in the amount of: \$          
A copy of this Transmittal is enclosed.
- ☐ Not enclosed

9. **Deposit Account and Refund Authorization**

The Commissioner is hereby authorized to charge any deficiency in the amount enclosed or any additional fees which may be required during the pendency of this application under 37 CFR 1.16 or 37 CFR 1.17 or under other applicable rules (except payment of issue fees), to Deposit Account No. 13-2855. A copy of this Transmittal is enclosed.

Please refund any overpayment to Marshall, O'Toole, Gerstein, Murray & Borun at the address below.

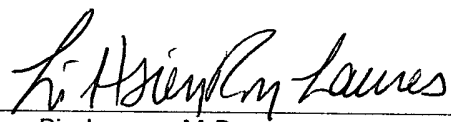
10. **Correspondence Address**

Customer No.: 04743

Respectfully submitted,

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By:

  
Li-Hsien Rin-Laures, M.D.  
Reg. No: 33,547

April 16, 2001

## JOINT INVENTORS

"EXPRESS MAIL" mailing label No.

EL564460153US.

Date of Deposit: April 16, 2001

I hereby certify that this paper (or fee) is being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 CFR §1.10 on the date indicated above and is addressed to: Commissioner for Patents, Washington, D.C. 20231

  
Lynn Jamulis

## APPLICATION FOR UNITED STATES LETTERS PATENT

# S P E C I F I C A T I O N

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### TO ALL WHOM IT MAY CONCERN:

Be it known that we, Dennis G. Ballinger a citizen of United States, residing at 38 Bishop Lane, in the City of Menlo Park, 94025 and State of California, Deborah Loeb a citizen of United States, residing at 5932 Valley Meadow Court, in the City of San Jose, 95135 and State of California, Julie R. Montgomery a citizen of United States, residing at 23411 Glenwood Drive, in the City of Los Gatos, 95033 and State of California, Y. Tom Tang a citizen of United States, residing at 4230 Ranwick Court, in the City of San Jose, 95118 and State of California, Ping Zhou a citizen of People's Republic of China, residing at 1461 Japaur Lane, in the City of San Jose, 95132 and State of California, Ryle Goodrich a citizen of United States, residing at 4896 Sandy Lane, in the City of San Jose, 95124 and

State of California, Chenghua Liu a citizen of United States, residing at 1125 Ranchero Way, Apt. 14, in the City of San Jose, 95117 and State of California, Vinod Asundi a citizen of United States, residing at 709 Foster City Blvd., in the City of Foster City, 94404 and State of California, Qing A. Zhao a citizen of People's Republic of China, residing at 1028 S. de Anza Blvd., Apt. B-210, in the City of San Jose, 95129 and State of California, Tom Wehrman a citizen of United States, residing at 300 Pasteur Drive, Edwards R314, Stanford University Medical Center, in the City of Stanford, 94305 and State of California, Radoje T. Drmanac a citizen of Yugoslavia, residing at 850 East Greenwich Place, in the City of Palo Alto, 94303 and State of California, Feiyan Ren a citizen of People's Republic of China, residing at 20685 Garden Manor Court, in the City of Cupertino, 95014 and State of California, Xiaohong B. Qian a citizen of People's Republic of China, residing at 3662 Tumble Way, in the City of San Jose, 95132 and State of California and Dunrui Wang a citizen of People's Republic of China, residing at 932 La Palma Place, in the City of Milpitas, 95035 and State of California have invented a new and useful MATERIALS AND METHODS RELATING TO LIPID METABOLISM, of which the following is a specification.